Request for Proposal for EBT Services

Appendix F, Data Item Descriptions

RFP-OSI-0530-204

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Table of Contents

Appendix F, Data Item Descriptions

This appendix includes Data Item Descriptions (DIDs) that provide detail on what information is to be provided in required deliverables. DIDs are presented for:

- Staff Management Plan
- Project Management Plan
- Quality Assurance Plan
- Risk Management Plan
- Ongoing Operations Forms Packet
- Network Certification Plan
- Requirements Specification
- Error Corrections and Adjustments Manual
- ARU Documentation (client and retailer scripts/prompts)
- Customer Service Manual
- Card Design Document
- Administrative Equipment Preventive Maintenance Schedule
- County Change in Cash Access Plan
- County Cash Access Plan
- Retailer Conversion Plan
- Model Retailer Agreement
- Retailer Management Plan
- Settlement and Reconciliation Plan
- Training Plan
- Administrative User's Guide
- Detailed System Design
- Statewide Transition Plan
- Database Conversion Plan
- Database Conversion Test Plan
- System Security Plan
- Network Conversion Plan
- Interface Document
- Master Test Plan
- Interface Test Plan
- Test Scripts
- Integration Test Plan
- User Acceptance Test Plan
- System Capacity Management Plan
- Continuity of Business Plan
- Disaster Services Plan
- End-of-Contract Changeover Plan
- Reports Catalog
- Deficiency Management Plan
- Configuration Management Plan

F.1   Staff Management Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Staff Management Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Staff Management Plan shall describe the Contractor's approach to managing staffing for the EBT Project. The Plan details how the Contractor will manage staffing levels to ensure the project has and will have sufficient staff with the necessary skill sets and experience at the appropriate project phases and throughout the project.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Staff Management Plan shall include the following:

- Cover/title page.
- Document history.
- Table of contents.
- An introduction that includes the document's purpose, suggested audience, and list of key terms.
- An executive summary of the document's content.
- Description of the Contractor's overall staffing approach.
- Description of roles and responsibilities of key staff and organizations (e.g., other Contractor organizations, subcontractors) that supports the project.
- Description of staffing assumptions and constraints.
- Description and presentation of the Contractor's staffing commitments (by skill type and levels) for each project phase and for the entire project including location of staff and percentage to which they are dedicated to the EBT Project.
- Description of reporting structure for the Contractor staff working on or supporting the EBT Project. Include any other contractor organizations or subcontractors who work on the project.
- Description of how the Contractor will train any replacement staff, if required, to fill vacated staff positions resulting from staff turnover.
- Description of the Contractor's contingency/transition process to immediately and temporarily fill extended staff absences due to vacations or illness.
- Description of the Contractor's escalation process to acquire additional staff should such need arise.
- Description of how the Contractor will manage its subcontractors.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.2   Project Management Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Project Management Plan	To be determined

3. DESCRIPTION/PURPOSE

The Project Management Plan (PMP) shall describe the Contractor's overall project management methodology and associated processes to managing all aspects of the EBT Project. This Plan shall describe other Contractor-developed plans that will be used to manage and support the project. The Plan shall define the work breakdown structure and the success criteria that will be used for the project. Additionally, the Plan shall detail the Contractor's schedule management approach. The Plan shall also describe how the Contractor's processes and methods will complement those of the state.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Project Management Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Summary describing the Contractor's overall project management methodology.

- Description of standards upon which the Contractor's Project Management Plan is based.

- Description of the internal and external standards that will be employed in the execution of the Plan.

- Description of roles and responsibilities of Contractor staff, supporting organizations and subcontractors/partners. Include a project team directory in appendix.

- Description of the Contractor's organizational structure as it relates to the EBT Project.

- The Contractor's Communication Plan for the project including description of the Contractor's formal and informal internal and external communications processes to keep the project staff informed of project status, workplan status, issues, risks, and other project information.

- Description of the Contractor's schedule (workplan) management processes and procedures including:

    - Types of workplans that the Contractor will develop and maintain.

    - How the project workplans will be developed and controlled.

    - How resources will be assigned and leveled.

    - How the workplans will be managed including updates and versioning. These procedures can be included as an appendix.

    - Types of workplan reports the Contractor will generate and use to manage the workplan.

    - Types of analysis (e.g., critical path) the Contractor will perform on a regular basis to ensure the workplan is realistic.

    - How the Contractor's schedule management process will integrate and complement the state's workplan management process.

- Description of the work breakdown structure the Contractor will use to manage the project and upon which the project workplans will be based.

- Description of the Contractor's requirements management approach for managing and maintaining project requirements.

- Description of the Contractor's escalation process; include a staff escalation table with staff contact information in the appendix.

- Description of key processes and/or other plans that will be used to manage the project.

- A subcontractor management plan that describes in detail how the Contractor will manage its subcontractor's work and work products.

- Description of the Contractor's success criteria for the project and major components of the project.

- Forms or detailed procedures that will be used in support of the processes described within the Project Management Plan.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.3   Quality Assurance Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Quality Assurance Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Quality Assurance Plan shall describe the Contractor's approach to ensuring quality for all aspects of the EBT Project. The Plan details the quality assurance tasks and activities the Contractor will undertake throughout the project. The Plan shall describe the types of reviews to be conducted and the types of metrics to be collected.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Quality Assurance Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Description of standards upon which the Contractor's Quality Assurance Plan is based.

- Description of the internal and external standards (e.g., coding, design, commentary [programming], documentation, and testing standards) that will be employed in the execution of this Plan.

- Description of the roles and responsibilities of Contractor staff as they relate to quality assurance.

- Description of Contractor's organizational structure as it relates to quality assurance of the project.

- Description of the quality reviews that the Contractor will conduct such as software design reviews (e.g., preliminary design review, detailed design review, test readiness review), system transition reviews (e.g., retailer readiness, county readiness, system cutover Go/No-go decision meeting), schedule reviews, and documentation reviews.

- Description of the types of project metrics the Contractor will collect, track, trend, and analyze.

- Description of quality assurance activities as they relate to testing.

- Description of how Contractor will ensure quality of work products developed and delivered by the Contractor's subcontractors/partners.

- Description of the tools used to support the Contractor's QA tasks and activities.

- Description of how this Plan relates to other Contractor plans (e.g., test plan, configuration management plan).

- Description of how the Contractor will communicate with the state regarding quality issues, and the types of quality statistics/reports the Contractor will provide the state.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.4   Risk Management Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Risk Management Plan	To be determined

3. DESCRIPTION/PURPOSE

The Risk Management Plan shall describe the Contractor's processes for identifying, analyzing, planning tracking and control, and reporting project risks.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Risk Management Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Description of the Contractor's overall risk management approach.

- Description of the roles and responsibilities of the participants in the risk management process.

- Description of risk identification approach including the method for conducting formal and informal risk identification reviews, and how candidate risks are documented and validated.

- Description of how risks are analyzed, including who performs the analysis, what types of analyses are performed, how the results of the analysis are reviewed, and how decisions to accept or reject a risk are made including:

- How risk categorization is performed
- How impact analysis is performed
- How risks are reviewed against established risk tolerance
- How risk rankings are reviewed
- How risks are accepted

- Description of risk planning approach including:
  - How risk mitigation and contingency plans are developed
  - How the mitigation and contingency plans are reviewed and updated

- Description of how mitigation plans are implemented and how triggering events are monitored.

- Description of how risks are tracked and controlled including how risks status are reported, change to risks, how mitigation/contingency plans are updated, and how risks are retired.

- Description of how risks are communicated to project stakeholders, including risk escalation.

- Description of risk management tools and/or databases used to manage risk on the project.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.5   Ongoing Operations Forms Packet

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Ongoing Operations Forms Packet	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Ongoing Operations Forms Packet shall describe forms and templates and corresponding instructions used in conducting activities during the maintenance and operations period of the contract. These activities include ordering materials, adding or modifying user access to EBT systems, setting file transmission schedules, repairing equipment and other activities as deemed appropriate by the Contractor and the state.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Ongoing Operations Forms Packet shall include the following:

- Cover/title page.
- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- A complete set of Contractor forms and instructions used to manage the EBT Project including but not limited to:

  - Obtaining additional administrative equipment including card printers, PIN selection equipment, and BIO POS devices.

  - Adding, changing, or deleting users to/from the EBT system and related county administrative equipment (if applicable).

  - Repairing, replacing, and reporting lost or stolen EBT equipment.

  - Identifying county level preferences related to card issuance and card replacement.

  - Ordering EBT materials such as card stock and card sleeves.

  - County settlement information including selected settlement choice and authorization to debit.

  - Receiving reports of returned and destroyed EBT cards.

  - County file transmission schedules and contacts.

  - Reporting questions or problems with the EBT system and/or related equipment.

  - Requesting archived cardholder transaction data.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.6   Network Certification Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Network Certification Plan	To be determined

3. DESCRIPTION/PURPOSE

The Network Certification Plan (NCP) shall describe the processes and procedures required to certify the EBT transaction processing network. The NCP shall describe all necessary activities for certifying and monitoring the EBT Switch, the EBT-Only Acquirer, and Third Party Processors. The NCP shall include certification procedures and an EBT-specific ISO 8583 Processor Interface Specification.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Network Certification Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content

- Description of the certification process for:

  – EBT Switch

  – EBT-Only Acquirer

  – Third Party Processors that do not already process EBT transactions for the Contractor for other states

  – Third Party Processors that already process EBT transactions for the Contractor for other states

- Description of the performance monitoring process for the EBT Switch, EBT-Only Acquirer, and Third Party Processors, including:

  – Monitoring compliance with timeliness, availability, and accuracy requirements set forth in RFP-OSI-0530-204, FNS regulations, and Quest$^{®}$ Operating Rules.

  – Conditions and process for de-certification.

  – Conditions and process for re-certification due to significant hardware or software modifications.

- Appendices containing individual certification procedures that will be provided to the EBT Switch, EBT-Only Acquirer, and Third Party Processors (Contractor format is acceptable)

- Appendix containing the EBT specific ISO 8583 Processor Interface Specification (Contractor format is acceptable)

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.7   Requirements Specification

DATA ITEM DESCRIPTION

1. DELIVERABLE NAME	2. DELIVERABLE NUMBER
Requirements Specification	To be determined

3. DESCRIPTION/PURPOSE

The Requirements Specification shall list and describe any new or modified requirements of the Contractor's EBT system that are specific to California and created as a result of JAD sessions or Contractor analysis. The document shall also include derived requirements that are necessary to meet a state or Contractor-provided requirement but which are not explicitly stated.

Requirements shall include hardware requirements, software requirements, system requirements (actions which must be performed by a combination of hardware and software such as a network latency time requirement) and operational requirements (actions which must be initiated or controlled by a human).

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Requirements Specification shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- A listing and description of all new requirements for the EBT system including requirement number and source or basis.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.8   Error Corrections and Adjustments Manual

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Error Corrections and Adjustments Manual	To be determined

3. DESCRIPTION/PURPOSE

The Error Corrections and Adjustments Manual shall describe processes and procedures for the correction of system errors in accordance with Title 7 of the Code of Federal Regulations and the Quest® Operating Rules.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Error Corrections and Adjustment Manual shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- Description of assumptions and considerations in the design of the error correction process, including a definition of what constitutes a valid system error.

- Roles and responsibilities for the processor (the Contractor), network (the EBT Gateway Switch), acquirers, retailers, the State of California, counties, and cardholders.

- Organizational chart showing contractor and sub-contractor responsibilities in the error correction process.

- Description of the types of error correction requests and how they are initiated, including:

    - Acquirer/retailer-initiated correction requests.

    - Network-Initiated correction requests.

    - Client-initiated correction requests.

    - Processor correction requests (created by the Contractor's internal settlement and reconciliation process).

    - Correction requests related to manual vouchers.

- Description of the systems and processes used to record and track error correction requests.

- Description of the systems and processes used to investigate and validate error correction requests.

- Description of the systems and processes used to transmit error correction requests and receive responses from acquirers.

- Description of the systems and processes used to receive documentation from acquirers and retailers.

- Description of the systems and processes used to initiate account adjustments for approved error correction requests.

- Description of the systems and processes used to process fair hearing request and fair hearing outcome entries.

- Description of the systems and processes used to apply account adjustments to cardholder accounts.

- Description of the systems and processes used to settle adjustments with acquirers and retailers.

- Description of the systems and processes used to generate error correction request and adjustment reports.

- Flow charts or "swim lane" diagrams showing the end-to-end processing of error correction requests with timing information and detailed descriptions of each step for:

  – Processor/network/acquirer/retailer-initiated cash and food stamp credit correction requests.

  – Client-initiated food stamp credit correction requests.

  – Client-initiated cash credit correction requests.

  – Processor/network/acquirer/retailer-initiated cash and food stamp debit correction requests.

- Description of how the correction request and adjustment processes support client notification and fair hearing requirements, including requests for documentation to support fair hearings.

- Description of the escalation process that occurs when a client, acquirer/retailer, or state/county personnel disputes the approval or denial of a correction request.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

Applicable Standards: Title 7 of the Code of Federal Regulations, Quest® Operating Rules.

F.9   ARU Documentation (client and retailer scripts/prompts)

DATA ITEM DESCRIPTION	

1. DELIVERABLE NAME	2. DELIVERABLE NUMBER
Client ARU Helpline Script	To be determined

3. DESCRIPTION/PURPOSE

In California, the interactive voice response system is called the Automated Response Unit (ARU). It is imperative that clients calling the ARU continue to experience the same functionality and hear the same prompts, in the same order. Therefore, whenever there is a change in ARU service providers, the existing Client Helpline Script must be followed precisely.

California will provide an electronic copy of the script. The Contractor will repackage this deliverable and submit it for state acceptance. For reference, the current script is included in the Bidders Library.

4. CONTENT REQUIREMENT

The state does not anticipate any changes in prompts and the navigation through the ARU, including the voice-activated navigation currently available to clients who speak English or Spanish. The Client Helpline Script has the following features:

- A cover sheet with standard error handling and system availability.

- A listing of all available functionality.

- All Client Helpline prompts presented in a navigational format including:

    – Distinct coloration for all prompts associated with the voice-activated pathway

    – Single-call PIN select functionality.

    – Labels for all prompts linking them to the associated prompt listings for all language supported by California's EBT system. The labeling can be different from that shown in the current script, as long as each prompt has a unique label.

5. PREPARATION INSTRUCTIONS

Not applicable.

DATA ITEM DESCRIPTION

1. DELIVERABLE NAME	2. DELIVERABLE NUMBER
ARU – Recorded Client Prompts	To be determined

3. DESCRIPTION/PURPOSE

In California, the interactive voice response system is called the Automated Response Unit (ARU). It is imperative that clients calling the ARU continue to hear the same prompts, with the same translations in all languages supported by EBT. Therefore, whenever there is a change in ARU service providers, the existing prompts must be replicated precisely.

California will provide an electronic copy of the recorded prompts for all supported languages. The Contractor will repackage this deliverable and submit it for state acceptance.

4. CONTENT REQUIREMENT

The state does not anticipate any changes to the prompts, unless through a future Work Authorization. The recorded prompts must be formatted as follows:

- Labels for each recorded prompt must be included that correspond with the Client Helpline Script. The labeling can be different from that contained in the current electronic version of the recorded prompts, as long as each prompt has a unique label.

- Separate indexes of prompts for each language, with the labels arranged in ascending order.

- Access and navigation to permit efficient review of all the recorded prompts.

5. PREPARATION INSTRUCTIONS

Not applicable

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Retailer Helpline Script	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

In California, the interactive voice response system is called the Automated Response Unit (ARU). A Retailer ARU is in place for retailers to receive authorization for food stamp manual vouchers and is available in English and Spanish.

California will provide an electronic copy of the script. The expectation is that any future scripts will have the same functionality, if not more. Any change from the current Retailer ARU must be intuitive by design and not cause confusion for the retailers. For reference, the current Retailer Helpline Script is included in the Bidder Library (the current title of this deliverable is Retailer Helpline Script).

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

- A cover sheet describing standard error handling.

- All prompts (in English) presented in a navigational path.

- Prompts to solicit an FNS number, verify the number of digits, and handle other entry errors.

- Prompts to solicit a manual voucher number, verify the number of digits, and handle other entry errors.

- Prompts to solicit the client's card number, verify the number of digits, and handle other entry errors.

- Prompts to solicit and repeat the food stamp purchase amount, alert the caller if there are insufficient funds, and transfer the caller to a customer service representative, if requested.

- Prompts to permit the retailer to request another authorization using the same FNS number (no need to call back into the Retailer ARU).

5. PREPARATION INSTRUCTIONS

Not applicable.

DATA ITEM DESCRIPTION

1. DELIVERABLE NAME	2. DELIVERABLE NUMBER
ARU – Written Client Prompts	To be determined

3. DESCRIPTION/PURPOSE

In California, the interactive voice response system is called the Automated Response Unit (ARU). It is imperative that clients calling the ARU continue to hear the same prompts, with the same translations in all languages supported by EBT. Therefore, whenever there is a change in ARU service providers, the existing prompts must be replicated precisely.

California will provide an electronic copy of the written prompts listing for all supported languages. The Contractor will repackage this deliverable and submit it for state acceptance.

4. CONTENT REQUIREMENT

The state does not anticipate any changes to written prompts, unless through a future Work Authorization. Prompts for voice-activated navigation are available to clients who speak English or Spanish. The written prompts will have the following features.

- An English prompt listing with labels that correspond with the Client Helpline Script. The labeling can be different from that shown in the current prompt listing, as long as each prompt has a unique label.

- Separate prompt listings for each non-English language, presented in a side-by-side English to non-English format with labels (in ascending order) that correspond with the Client Helpline Script.

- Prompts associated with the voice-activated system must be labeled as such.

5. PREPARATION INSTRUCTIONS

Not applicable.

F.10 Customer Service Manual

DATA ITEM DESCRIPTION	

1. DELIVERABLE NAME	2. DELIVERABLE NUMBER
Customer Service Manual	To be determined

3. DESCRIPTION/PURPOSE

The Customer Service Manual shall describe to Customer Service Representatives (CSRs) the scope of the EBT Project, background information, basic features of the system, instructions for client card use, and specific call handling procedures for clients and retailers.

Because this document helps to provide orientation and training to staff whose job is to assist clients, California considers it a key deliverable. Deficiencies, questions, complaints, work authorizations, and call monitoring can result in the need to modify CSR orientation material, call handling strategies, and/or the contents of this manual. The Customer Service Manual will be updated on an as-needed basis.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Customer Service Manual shall include the following:

- Cover/title page.
- Document history.
- Table of contents.
- An introduction that includes the document's purpose, suggested audience, and listing of key terms.
- An executive summary of the document's content.
- An overview of the EBT Project including the scope of the EBT system, significant features incorporated into the EBT Project and service level requirements and customer service hours.
- An overview of the EBT card including graphics of the card's front and back to enable CSRs to recognize the card when described to them over the telephone.
- Information on the food stamp and cash stagger.
- Card and PIN issuance/replacement information regarding California's card and PIN issuance processes, card and PIN replacement options, the single-call PIN change feature within the ARU, and how to address situations where clients declare their Social Security Number (SSN) is all zeros.
- Instruction about the types of possible transactions at POS devices and ATMs and to inform clients about transaction fees and possible surcharges.

- Security questions on how to verify a client's identity, what to do if verification fails, and how to handle situations where the client's SSN are all zeros.

- Troubleshooting card problems including instructions for resolving POS and ATM transaction issues and where referral to the local county public assistance office is appropriate.

- Procedures on capturing and recording customer service data.

- Procedures for connecting to language line services; dealing with direct deposit questions; handling requests for monthly statements; providing clients with benefit availability information (i.e., California's stagger and Los Angeles County's exception); answering client questions about benefit balance, local office addresses, moving and traveling, transaction history, ATM and retailer POS locations, and the number of cash withdrawals remaining without transaction fees; providing client assistance regarding transaction disputes, claims, lost/stolen/damaged cards, found cards, compromised personal information, and PIN issues.

- Direction for handling calls from state/federal officials and law enforcement personnel, as well as the media.

- Direction for handling calls from county caseworkers relative to problems with administrative equipment, client transaction problems, card cancellation, and others.

- Instruction for handling retailer calls regarding manual vouchers, floor limits, and other sources of assistance.

- Quick reference information including transaction type codes, transaction error codes and descriptions, county options relative to card and PIN issuance/replacement, and participating ATM and retailer locations (including surcharge-free locations).

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.11 Card Design Document

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Card Design Document	**2. DELIVERABLE NUMBER** To be determined
3. DESCRIPTION/PURPOSE The Card Design Document shall describe the Golden State Advantage card, card sleeve, and card carrier design. This document shall present the technical specification for the card, including images of the card and describe how it complies with all applicable ISO standards. The layout and text on the sleeve and carrier shall be described and shown. This document shall also describe the PIN mailer and the design of the disaster card and carrier.	

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes in content must be approved by the state in advance.

The Card Design Document shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive overview of the document's content.

- Detailed descriptions of the technical card specifications including size, thickness, design element layout, magnetic stripe layout, coercivity, printing process, color descriptions, compliance with Quest® rules and applicable standards.

- A detailed description of features on the front and back of the card.

- A description of security features for the card, such as, hologram, fine line printing, and others.

- Detailed descriptions and images of the card carrier, card sleeve, and PIN mailer.

- Detailed descriptions of the card design and card carrier for the pre-printed Disaster Golden State Advantage card, including:

    – A description of the features on the card front and reverse of the Disaster Golden State Advantage card that is different from the regular Golden State Advantage card.

    – A description of the disaster card carrier design.

    – A description of how a unique PIN will be associated with each disaster EBT card.

    – Images of the Disaster Golden State Advantage card and card carrier.

- A discussion of how cards will be versioned with each design change and each batch of card production.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer the OSI Style Guide for format and preparation guidelines.

F.12 Administrative Equipment Preventive Maintenance Schedule

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Administrative Equipment Preventive Maintenance Schedule	To be determined

3. DESCRIPTION/PURPOSE

The Administrative Equipment Preventive Maintenance Schedule shall describe the preventive maintenance and/or replacement procedures that will be used for servicing county administrative equipment. This document also presents the schedule for conducting planned preventive maintenance for county administrative equipment.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Administrative Equipment Preventive Maintenance Schedule shall include the following:

- Cover/title page.
- Document history.
- Table of contents.
- An introduction that includes the document's purpose, suggested audience, and list of key terms.
- An executive summary of the document's content.
- A description of preventive maintenance activities for card printers including frequency of service, expected duration of service, and service activities.
- A description of preventive maintenance for PIN selection equipment (If applicable) including frequency of service, expected duration of service, and service activities.
- A description of preventive maintenance for BIO POS devices (if applicable) including frequency of service, expected duration of service, and service activities.
- A schedule of planned maintenance on card printers that includes site name (county, state, or eligibility system consortia), address, type of card printer (make and model), and date(s) of planned preventive maintenance visits.
- A schedule of planned maintenance on PIN selection equipment (if applicable) that includes site name (county, state, or eligibility system consortia), address, type of card printer (make and model), and date(s) of planned preventive maintenance visits.
- A schedule of planned maintenance on BIO POS devices (if applicable) that includes site name (county, state, or eligibility system consortia), address, type of card printer (make and model), and date(s) of planned preventive maintenance visits.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.13 County Change in Cash Access Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME County Change in Cash Access Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The County Change in Cash Access Plan shall describe EBT cash access that is available to recipients of cash assistance in California counties and any difference or change in cash access as a result of the transition from one vendor to another. A Plan must be created for each California county that offers cash EBT. The Plan shall describe how the Contractor has recruited cash access locations such as ATMs and POS locations and presents an analysis of how the available access meets standards of proximity, capacity, distribution, and alternatives as established by the State. The Plan shall also include a comprehensive review of any changes in cash access such as the impact of locations that are no longer participating in cash EBT, newly enrolled locations, and locations that have changed their surcharge policies. The Plan will be used by state, county and other stakeholders to identify the extent of any change in cash access and if those changes warrant a change in the county's participation in cash EBT.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The County Change in Cash Access Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- A discussion of the cash EBT program including rules and governing structures, the use of ATMs and POS locations, types of transactions (purchase, purchase with cash back, cash withdrawal), and associated fees and surcharges. Examples of transaction types and the associated fees and surcharges shall be included.

- A discussion on cash access recruitment including financial institution participation at the state and county level, retailer recruitment including FNS-authorized retailers, non-FNS retailers, and check cashers.

- A discussion on cash access needs including the role of the cash stagger, proximity of cash availability, and capacity. The discussion on capacity shall include calculations used, assumptions, and examples of those calculations in determining capacity.

- A discussion of the Contractor's methodology used in assessing cash access.

- A discussion on cash access in the county including identification of underserved zip codes and alternatives to meet cash access needs in those zip codes, an overview of maps that illustrate cash access and reports that present details on cash access by zip code, and a summary of all cash access findings for that county.

- A discussion on the change in cash access in a given county as it relates to locations, surcharge versus surcharge-free locations, and overall availability of cash in the county.

The Contractor shall provide supporting appendices that provide the following:

- A matrix by zip code that includes location name, caseload, monthly cash needed, daily cash needed, and daily available cash. The daily available cash should identify the amount and number of locations provided by surcharge-free ATMs, ATMs with surcharges, surcharge-free POS devices, and POS devices with a surcharge, as well as a total of daily cash access available. The matrix shall also include the total percentage of cash access met and the percentage that is met by surcharge-free locations.

- A series of matrices by zip code that identify by device type (ATM or POS), the name and address of locations that provide cash access and the daily amount, applicable surcharges, withdrawal limits, and enrollment status at that location.

- A series of maps by zip code that identify surcharge and surcharge-free ATM and POS cash access locations.

- A matrix identifying county caseload data by zip code and cash assistance program used in developing the cash access matrices.

- A listing of participating surcharge-free ATM financial institutions.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.14 County Cash Access Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME County Cash Access Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The County Cash Access Plan shall describe the EBT cash access that is available to recipients of cash assistance in California counties. The Plan shall describe, for each county, how the Contractor recruited cash access locations such as ATMs and POS locations and presents an analysis of how available access meets standards of proximity, capacity, distribution, and alternatives. The Plan will be used by state, county and other stakeholders to identify cash access locations that are participating in California's EBT program and to evaluate whether cash access is adequately provided.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The County Cash Access Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and a listing of key terms.

- An executive summary of the document's content

- A discussion of the cash EBT program including rules and governing structures, the use of ATMs and POS locations, types of transactions (purchase, purchase with cash back, cash withdrawal), and associated fees and surcharges. Examples of transaction types and the associated fees and surcharges shall be included.

- A discussion on cash access recruitment including financial institution participation at the state and county level, retailer recruitment including FNS-authorized retailers, non-FNS retailers, and check cashers.

- A discussion on cash access needs including the role of the cash stagger, proximity of cash availability, and capacity. The discussion on capacity shall include calculations used, assumptions, and examples of those calculations in determining capacity.

- A discussion on distribution of cash access in the county. If 100 percent of cash access for a specific location cannot be provided, alternatives shall be discussed. If alternatives cannot be met using the existing commercial infrastructure, the deployment of additional POS devices shall be discussed.

- A discussion on cash access in the county including identification of underserved zip codes and alternatives to meet cash access needs in those zip codes, an overview of maps that illustrate cash access and reports that present details on cash access by zip code, and a summary of all cash access findings for that county.

The Contractor shall provide supporting appendices that provide the following:

- A matrix by zip code that includes locale name, caseload, monthly cash needed, daily cash needed, and daily available cash. The daily available cash should identify the amount and number of locations provided by surcharge-free ATMs, ATMs with surcharges, surcharge-free POS devices, and POS devices with a surcharge, as well as a total of daily cash access available. The matrix shall also include the total percentage of cash access met and the percentage that is met by surcharge-free locations.

- A series of matrices by zip code that identify by device type (ATM or POS), the name and address of locations that provide cash access and the daily amount, applicable surcharges, withdrawal limits, and enrollment status at that location.

- A series of maps by zip code that identify surcharge and surcharge-free ATM and POS cash access locations.

- A matrix identifying county caseload data by zip code and cash assistance program used in developing the cash access matrices.

- A listing of participating surcharge-free ATM financial institutions.

5. PREPARATION INSTRUCTIONS
The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.15 Retailer Conversion Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Retailer Conversion Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE
The Retailer Conversion Plan shall describe the approach and activities to convert California retailers from the state's present retailer service provider to the Contractor during the transition period.

4. CONTENT REQUIREMENT
The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance. The Retailer Conversion Plan shall include the following: • Cover/title page. • Document history. • Table of contents. • An introduction that includes the document's purpose, suggested audience, and listing of key terms • An executive summary of the document's content. • A discussion on the conversion methodology including conversion objectives, POS infrastructure and Third Party Processor (TPP) recertification, retailer-related ARU functionality, retailer equipment installation and training and manual voucher processing during conversion. • A discussion on activities related to other benefit access including, notifications to financial institutions, development of acquirer agreements, gateway switching services, and recertification of TPPS, acquirers and networks. • A discussion on activities related to the development and use of a current FNS-authorized retailer database.

- A discussion on activities related to the development and distribution of required federal notices and other retailer communications for TPPs, EBT-only retailers, and non-traditional retailers.

- A discussion on activities related to the development and distribution of retailer packets for EBT-only retailers, integrated retailers, and non-traditional retailers.

- A discussion on activities related to executing agreements with EBT-only retailers.

- A discussion on activities related to the deployment of EBT-only equipment.

- A discussion on activities related to installing and testing EBT-only equipment.

- A discussion on training to be provided to EBT-only retailers.

- A discussion on quality assurance and risk management activities during retailer conversion.

- A discussion on transaction processing before conversion and after terminal installation, including exception processing.

- A discussion on transaction processing after conversion.

- A presentation and discussion of the schedule for retailer conversion.

- A discussion of the Contractor's level of presence and support at retailer locations throughout the transition period and during the conversion cutover weekend.

- A discussion on system down time notification and transaction processing during system down time.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.16 Model Retailer Agreement

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Model Retailer Agreement	To be determined
3. DESCRIPTION/PURPOSE	
The Model Retailer Agreement shall describe the contractual responsibilities and obligations between the Contractor and retailers who qualify to use EBT-only POS devices. This agreement and any future revisions are subject to review and approval by the state and the Food and Nutrition Service.[1]	

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[1] When contracted retailers are presented with a new agreement, there may be uncertainty as to what has changed from the initial agreement. To ease this uncertainty and probably expedite retailer acceptance of the new agreement, a summary of changes from the initial agreement will be prepared, approved by the state, and presented to retailers along with the new agreement.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Model Retailer Agreement shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- A summary of differences between the current agreement and the new agreement (not intended for newly recruited retailers).

- Space for entry of the date the agreement is signed.

- Full identifying information for the Contractor and the retailer including the retailer's FNS Authorization Number.

- Language formally engaging the retailer that includes the retailer's handling of cash transaction, especially equal treatment for clients.

- Language detailing retailer rules and Contractor obligations relative to the issuance of benefits including:

    - Issuance of a receipt or manual voucher hold.

    - Manual issuance of food stamp benefits.

    - Reimbursement of costs for POS supplies.

    - Compliance with federal laws.

    - Compliance with Quest$^®$ rules.

    - Prohibitions against unlawful use of the EBT card.

- Language detailing Contractor obligations relative to processing EBT transactions.

- Language detailing retailer and Contractor obligations related to maintaining and disclosing issuance records.

- Language relative to training provided by the Contractor.

- Language detailing retailer and Contractor obligations related to retailer reimbursement for issuances.

- Language relative to a retailer's responsibility to maintain FNS authorization and to secure and maintain all necessary licenses and permits.

- Language detailing limitations on liability and indemnities.

- Language detailing the term of the agreement and termination provisions for both the retailer and the Contractor.

- Language addressing *force majeure.*

- Language detailing retailer and Contractor obligations relative to protecting the confidentially of client information.

- Language addressing methods of notifications between parties (written or telephone).

- Language addressing the display of EBT service marks, including the Quest® logo.

- Miscellaneous provisions including:

  - Modifications to the agreement.

  - Prohibitions against transfer of retailer rights or obligations.

  - Severability of agreement provisions.

  - Prohibitions against third-party beneficiaries.

  - Right for the state to take administrative or legal action against the retailer or to refer such action to another governmental agency.

- Language detailing retailer and Contractor obligations related to EBT equipment (as part of the primary agreement or as a rider) including installation of a dedicated telephone if requested by a retailer whose monthly food stamp benefit issuance exceeds $5,000.

- Signature blocks.

- Appendices including, but not limited to, retail locations, days of operation and hours of operation, and FNS guidelines for POS terminal deployment [7 CFR 274.12(h)(4)(ii)].

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.17 Retailer Management Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Retailer Management Plan	To be determined

3. DESCRIPTION/PURPOSE

The Retailer Management Plan shall describe the vendor's approach to managing EBT-only, integrated, and non-electronic retailers. The Plan shall include an overview of retailer conversion, processes for enrolling new EBT-only, integrated, and non-electronic retailers, retailer agreements, training, training materials, deployment of EBT-only equipment, recovery of equipment, cash access, customer service support for resolving retailer issues, and processes for monitoring non-traditional retailers. The Retailer Management Plan shall also describe the processes used by the Contractor to comply with Food and Nutrition Services (FNS) requirements and the Quest® Rules.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Retailer Management Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- A description of the Contractor's processes for ongoing enrollment of new EBT-only retailers including the retailer agreement, deployment and recovery of EBT-only equipment, training, and cash access, as appropriate.

- A description of the process for ongoing enrollment of integrated and non-electronic retailers including the retailer agreement, training, and cash access, as appropriate.

- A description of the Contractor's process for monitoring EBT-only equipment including inventory reports, deployment of equipment, and recovery of equipment.

- A description of training provided to new retailers including training materials and methods of training for EBT-only, integrated, and non-electronic retailers.

- A description of the Contractor's process for terminating contracts with EBT-only retailers and recovering equipment from retailers deauthorized by the FNS, who chose to close their business, who are not using EBT-only equipment, or who have withdrawn from the Food Stamp Program.

- A description of the Contractor's process for monitoring retailer redemption and responding to state inquiries on retailer redemptions.

- A description of the Contractor's process for retailer customer service support including resolving retailer equipment and balancing issues.

- A description of processes for monitoring and providing information to non-traditional retailers, such as farmers markets or FNS-authorized restaurants.

- A description of the retailer packet or manual including specific information on :

    - Food Stamp Program.

    - Cash access program.

    - Customer service telephone numbers and contact information.

    - Balancing and terminal reports.

    - Settlement.

    - FNS guidelines.

    - Customer use of the personal identification number (PIN).

- How to use manual vouchers.

- Quest® signage.

- Information on the equipment for EBT-only retailers.

- Troubleshooting.

- Quick reference page with appropriate phone numbers, FNS office phone numbers, and some critical information (e.g., no minimum purchase requirement or transaction fees allowed on food stamp purchases).

- Supply of manual vouchers.

- Quick reference sheet for EBT-only retailers showing how to use the terminal.

- Benefit issuance schedule handout for retailers to keep near the POS device.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.18 Settlement and Reconciliation Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Settlement and Reconciliation Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Settlement and Reconciliation Plan shall describe information on how EBT transactions are processed, settled, and reconciled each day. The document shall focus on the settlement and system reconciliation processes that occur between the Contractor and the State and counties of California.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Settlement and Reconciliation Plan shall include the following

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- A description of roles and responsibilities of each of the parties involved in the settlement and reconciliation process for the EBT Project.

- Set-up required for settlement processes for state and counties: This section shall outlines the tasks the state and counties must complete in preparation to support EBT settlement and reconciliation. It will include discussions on:
  – State setup for food stamp.
  – County setup for cash.
- A description of the flow of an EBT transaction.
- A description of high-level settlement across various parties including:
  – Settlement and reconciliation functions.
  – Automated Clearing House (ACH) file processing.
  – Holiday ACH transaction processing.
  – Timing of ACH posting to county bank accounts.
  – Retailer/TPP settlement and reconciliation.
  – Manual voucher settlement for offline food stamp vouchers.
- A description of the settlement and reconciliation process followed by the Contractor including:
  – Overall settlement flow.
  – Cash settlement flow.
  – Food stamp settlement flow.
  – Settlement of adjustments.
  – Quality assurance and risk management.
  – Contingency planning.
- A description of federal and state processes for benefit settlement verification.
- Samples of reports and screens used in the settlement process.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.19 Training Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Training Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Training Plan shall describe how the Contractor will provide training to retailers and county and state staff during the transition.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Training Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- A discussion on the county and state staff training on the EBT system and related equipment. The discussion should include details on training methods to be used, training content and curriculum, suggested audience for each module or training content component, learning objectives, timing and schedule, staffing, and facility and equipment needs.

- A discussion on training to be provided to retailers during transition. The discussion should include details on training methods to be used, training content and curriculum, suggested audience for each module or training content component, learning objectives, timing and schedule, staffing, and facility and equipment needs, if applicable.

- A discussion on ongoing training to be provided to retailers as they enroll in California's EBT program. The discussion should include details on training methods to be used, training content and curriculum, suggested audience for each module or training content component, learning objectives, timing and schedule, staffing, and facility and equipment needs, if applicable.

- A discussion on how training will be evaluated.

- Actual training materials and samples will be included in an appendix.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.20 Administrative User's Guide

DATA ITEM DESCRIPTION
FOR INTERNAL USE ONLY

1. DELIVERABLE NAME	2. DELIVERABLE NUMBER
Administrative User's Guide	To be determined

3. DESCRIPTION/PURPOSE

The Administrative User's Guide shall describe the use of the browser-based EBT administrative system and associated EBT administrative equipment. It functions as a training tool for new users and as a refresher for experienced users.

The document is on a one-year revision cycle and the latest version is maintained on the EBT Project website.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Administrative User's Guide shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- An overview of the EBT system, including, but not limited to:
    - What EBT is and how it works.
    - Administrative equipment (card printers, PIN selection equipment and BIO POS devices).
    - Creating accounts.
    - Adding and voiding benefits.
    - Initial and replacement card issuance.
    - Other administrative application functionality.
    - POS/ATM transaction errors and claims processing.

- Description of administrative application security including:
    - Security features and restrictions.
    - Available profiles or user access levels and associated access rights
    - Instructions for adding and deleting a user and modifying user access for a user.
    - Password creation and maintenance.

- Detailed instructions on all administrative application functionality that includes:
    - Installation and set-up of the administrative application.
    - Summary description of each specific administrative application function.
    - Sample screens or pages.
    - Description of navigation, fields, and field values.
    - Step-by-step instructions on performing the activity.
    - Error and success messages.
    - Helpful hints.
- Instructions for using county card printer equipment—card printer, PIN selection equipment, and BIO POS devices that includes:
    - Installation and set-up of the card printer.
    - Summary description of available functions.
    - Sample menus.
    - Description of navigation, fields, and field values.
    - Step-by-step instructions on card issuance.
    - Error and success messages.
    - Trouble shooting and helpful hints.
- Instructions for using PIN selection equipment that includes:
    - Installation and set-up of the PIN selection equipment.
    - Summary description of available functions.
    - Sample menus.
    - Description of navigation, fields, and field values.
    - Step-by-step instructions on PIN issuance, changing PINs, and other functions as applicable.
    - Error and success messages.
    - Trouble shooting and helpful hints.
- Instructions for using BIO POS devices that includes:
    - Installation and set-up of the BIO POS device.
    - Summary description of available functions.
    - Sample menus.
    - Description of navigation, fields, and field values.
    - Step-by-step instructions on using the BIO POS device.
    - Error and success messages.
    - Troubleshooting and helpful hints.

- Instructions on ordering, inventorying, issuing, and destroying EBT cards including normal and emergency card issuance, replacement card issuance, and replacement PIN issuance.

- Card printer, PIN selection equipment, and BIO POS device preventive maintenance including:

    - Description of each item including name, manufacturer, and model number (where applicable).

    - Diagram of the equipment identifying major components, including all items which must be referenced or manipulated in order to perform the preventive maintenance action.

    - A description of preventive maintenance actions to be performed for each item.

    - The frequency each preventive maintenance action must be performed.

    - Tools or supplies needs to conduct preventive maintenance (such as screwdrivers, brushes, lint-free cloths, vacuum cleaners, isopropyl alcohol wipes or swabs, ink cartridges and other such items).

    - Step-by-step instructions on how to perform the preventive maintenance action.

    - Expected results of the action.

- Descriptions of how the information in the Administrative User's Guide can be used for training new users.

- Appendices which provide additional clarification and detail, including, but not limited to, the following:

    - Acronyms and terms.

    - Contact telephone numbers.

    - Forms.

    - Benefit types and order of draw.

    - Field and field value reference sheet.

    - Page/screen flow diagrams for administrative application functions.

    - California security profile assignments.

    - System reports available to county users.

    - ARU Client Helpline Script, including single call PIN selection.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.21 Detailed System Design

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Detailed System Design	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Detailed System Design (DSD) shall provide a description of the Contractor and sub-contractor systems that will be used to meet the EBT system requirements. The DSD shall include references to other deliverables as necessary to avoid duplication of information.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Detailed System Design shall include the following:

- Cover/title page.
- Document history.
- Table of contents.
- An introduction that includes the document's purpose, suggested audience, and listing of key terms.
- An executive summary of the document's content.
- Identification and description of each EBT system component including:
  - Hardware platform manufacturer and model (or model family).
  - Geographic location of primary and backup hardware.
  - Software operating system.
  - Commercial software applications.
  - Language or technology of custom software.
  - Interfaces to other EBT system components.
- A description of each external EBT system interface including identification of the interfacing component and data transport technology.
- A description of how each data element defined in the EBT system requirement is stored and maintained; identification of the component where the data is stored and the data characteristics and constraints.
- A description of how each action and transaction defined in the EBT system requirements is implemented including the role of each component and constraints.
- A description of how each process defined in the EBT system requirements is implemented including the sequence and timing of actions and transactions.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.22　Statewide Transition Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Statewide Transition Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Statewide Transition Plan shall describe the specifics of the Contractor's approach to transitioning EBT system from the current contractor to the Contractor's system. The Plan shall describe all necessary activities to successfully transition to the new system, including retailer transition and county/consortia transition.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Statewide Transition Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- An overview of the overall transition approach.

- Roles and responsibilities of the Contractor, current contractor, state staff, county staff and other stakeholders for the transition.

- Detailed schedule delineating work breakdown structure components, phases, activities, deliverables, milestones, quality assurance checkpoints, and critical path.

- Date and timeframe for cutover including appropriate backup date(s).

- Process for determining that the state, county, consortia, retailers, financial institutions and the Contractor are ready for statewide cutover to the Contractor's system. This would include development of a Go/No-Go Checklist and success criteria for proceeding with conversion cutover.

- Client notification of conversion cutover outage, if applicable and at the state's option.

- County and consortia preparation, including administrative equipment transition and new processes for interacting with the Contractor and new system.

- Training, including "training for trainers" for the county and state staff.

- Settlement and reconciliation transition including pre-conversion cutover and post conversion cutover activities, and file transmissions to the Statewide Automated Reconciliation System (SARS).

- ARU and customer service transition including how customer service representatives will be trained to meet California's specific needs, how customer service will be transitioned from the current contractor and the method by which the customer service quality is monitored and maintained.

- Cash access transition activities.

- Retailer conversion including migration of transaction acquirers (TPPs) and retailers, conversion of EBT-only retailers (securing retailer agreements and equipment and POS software load installation), retailer notification of outage during cutover, and retailer training.

- Strategy for transitioning Golden State Advantage Card transactions.

- Equipment inventory (including the inventory database) transition strategy including how existing inventory of state-owned equipment will be transferred.

- Card production, distribution, and issuance procedures during transition.

- Migration of client, retailer, and provider databases.

- Contingency and fallback plan should the conversion fail.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.23 Database Conversion Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Database Conversion Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Database Conversion Plan shall describe the preparation for, delivery of, and confirmation of the successful conversion of EBT host system databases and all associated processes and interfaces from the Contractor's EBT host system to the successor contractor's EBT host system.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Database Conversion Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- An overview of the activities and services that the Contractor will provide, the assumptions on which the Plan is based, and the roles and responsibilities for individuals and organizations involved in the database conversion effort.

- A listing of the supporting documents that will be used for reference during the preparation for and during the database conversion.

- A description of the conversion strategy that will be used from client, county, and system perspectives. Database conversion tasks will be outlined and described to provide the reader with an understanding of the system components that will need to be transitioned, as well as the many and various tasks that will be required to effect a successful conversion, such as current host data extraction, file transmission between current and successor hosts, telecommunications, and settlement transition.

- A description of the Contractor's database conversion team positions and the functions for which the team members are responsible.

- A description of processes, facilities, schedules, tools, and interfaces that will be needed to facilitate completion of the database conversion effort as planned.

- A description of the Contractor's approach for the development of programs that will read the current contractor's data extraction files, convert and load the converted data onto the Contractor's EBT host system. The discussion shall include conversion of the following files:

- Description of each interface to be tested including:

  - Infrastructure/network/equipment conversion.

  - Demographics (conversion and daily).

  - Card conversion file (conversion and daily).

  - Transaction history.

  - Benefit updates.

  - Grant conversions.

  - Manual authorization debit holds.

  - Manual authorization credit holds.

- A description of the testing and certification tasks and testing scenarios the Contractor will complete in preparation for the database conversion event including unit testing, integration testing, and full integration and system testing. The following testing phases are suggested:

- A description of the Contractor's EBT Host System Testing and Certification Plan that will ensure all of the required functionality, capacity, and performance specifications are met. The Certification Plan should include discussions on the:

  - Infrastructure/network/equipment conversion.

  - Contractor's EBT host system testing platform.

- End-to-end California counties' eligibility systems interfaces testing and certification.

- CAPS and printer interfaces end-to-end testing and certification.

- End-to-end reports testing and certification through the Statewide Automated Reconciliation and Reports system (SARS) interface.

- Contractor's Automated Response Unit and Customer Support Center interfaces end-to-end testing.

- Contractor's EBT transaction interface(s).

- FNS interfaces.

- A description of the tasks with an accompanying schedule that will be used to transition the EBT production data from the current contractor's EBT host system to the Contractor's EBT host system including a discussion on non-Contractor tasks (i.e., current contractor, state) that must be completed during the EBT data transition process.

- A listing and definition of the initial set of management reports that will be provided by the Contractor's EBT system immediately following conversion. The information contained in these reports combined with the current contractor's system final reports will be used by the state to insure the data conversion was accurate and complete.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.24 Conversion Test Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Conversion Test Plan	**2. DELIVERABLE NUMBER** To be determined
3. DESCRIPTION/PURPOSE The Conversion Test Plan shall describe in detail the testing strategy, methodologies and constraints involved in performing testing on data conversion, network infrastructure change, equipment change, change management and various interface cutovers across the Contractor's systems.	
4. CONTENT REQUIREMENT The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance. The Conversion Test Plan shall include the following: • Cover/title page. • Document history.	

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Description of all phases of the testing process including a discussion of tools, techniques, methodologies.

- Roles and responsibilities of the Contractor, state, county, and consortia staff.

- Resources required across various phases of the interface testing process including:

    – Hardware required for various phases of testing.

    – Software required for various phases of testing.

    – Staffing requirements for various phases of testing.

- Description of the need and use of the various test environments utilized across different phases of testing and the processes required for the setup of each of these environments.

- Description of each interface to be tested including:

    – Infrastructure/network/equipment conversion.

    – Database conversion.

    – Interface conversion.

- For each interface, the Plan shall:

    – Identify stakeholders.

    – Define scope, strategy, and detailed test requirements.

    – Describe the creating of a test environment.

    – Describe the testing stages along with the steps and schedule for each stage.

    – Identify entry and exit criteria for each stage of testing.

    – Detail roles and responsibilities.

    – Detail test scenarios and scripts for each phase of testing along with data requirements.

    – Describe rehearsals for an end-to-end conversion dry run.

    – Describe exception handling processes and error resolution processes.

    – Present quality assurance requirements for each interface including certification criteria, a certification process, and a certification checklist.

- Describe in detail the process to record and report discrepancies and problems encountered across the various testing phases of conversion and the detailed steps involved in their resolution. This should also include the rollback strategy.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.25 System Security Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME System Security Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The System Security Plan describes the Contractor's approach to ensuring that the EBT system (including all network components under the control of the Contractor, either by ownership or through contractual agreements) meets the security standards required by the EBT Project as well as applicable federal standards. This DID is based on ISO/IEC 17799 Information Technology, security techniques, code of practice for information security management. In the event the Contractor has an existing security framework or plan based on ISO/IEC 17799, that document may be submitted in lieu of this deliverable pending state approval.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The System Security Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- A description of the Contractor's security policies. Where possible, the Contractor shall provide copies of these security documents.

- A description of the Contractor's information security organization including:

    - Organization chart.

    - Allocation of information security responsibility.

    - Use of confidentiality agreements (if any).

    - Listing of information security organizations the Contractor belongs to.

    - How the information security organization is independently reviewed or audited.

- A description of how assets are managed including how the Contractor determines and classifies different levels of information.

- A description of human resources security including screening of potential employees, information security training provided to employees, and how outgoing employees are briefed in terms of continued security awareness.

- A description of physical and environmental security including security controls at Contractor's facilities and security of off-site equipment, including the back-up site.

- A description of Contractor policies on documentation of operating procedures, change management, segregation of duties, third party service providers, and protection against malicious code, back-up, network security, media handling, and event/log monitoring.

- A description of Contractor access control policies, including policies for operating system access, computer room access, network access, its password management system(s), and its mobile computing policies.

- A description of how the Contractor validates data, uses cryptography, protects source code, inspects source code for potential security defects, and manages outsourced software development (if any).

- A listing of any of cryptographic algorithms in the EBT system such as:

    – DES – The Data Encryption Standard (FIPS 46-3).

    – Triple DES or TDEA – Triple Data Encryption Standard (SP 800-67).

    – MD5, and SHA-1 – RSA's Message Digest 5 algorithm and the Secure Hash algorithm SHA-1 defined in FIPS 180-2.

    – SHA-0 (aka SHA) defined in FIPS 180, 11 May 1993 (since withdrawn).

- A description of how the Contractor manages and investigates information security incidents and how it uses information from security incidents to modify or improve its security practices.

- A description of federal and California regulations to be complied with and how those standards are met and how the Contractor identifies new laws and regulations which require compliance.

- A description of the Contractor's use (if any) of independent compliance auditors.

- A description of the Contractor's system security planning that describes how it plans security enhancements and upgrades, how it monitors current threats and plans to meet them and how security planning fits in with its overall IT planning process.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.26 Network Conversion Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Network Conversion Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Network Conversion Plan shall describe the approach and activities to convert the interfaces at each state, county and consortium site from the state's current contractor's network to the Contractor's EBT network.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Network Conversion Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- A discussion of the conversion methodology including conversion objectives, and network operations before and after EBT system cutover, including diagrams of the network architecture before and after cutover.

- Identification of roles and responsibilities for Contractor, state, county, consortia and current contractor staff.

- Identification of network equipment, including equipment dimensions, power requirements, and equipment connections, that will be installed at each site.

- Identification of standard circuit requirements for each site including a list of available transmission rates and criteria for the selection of transmission rates for individual sites.

- Identification of internal network information that will need to be provided by each site.

- A description of the steps required to prepare the new EBT network prior to conversion of the first site.

- A description of the steps required to transition a single site to the Contractor's new EBT network, including:

    - Communications with site personnel.

    - Ordering of circuits and verification of circuit installation.

- Circuit extensions.
- Configuration and installation of network equipment.
- Testing.
- Network cutover.

• A description of network changes that will be made during and following EBT system cutover.

• An appendix with a proposed schedule for conversion of each site that has an existing connection to the present contractor's network to the Contractor's EBT network.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.27 Interface Document

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME EBT Interfaces Document	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The EBT Interfaces Document shall describe the unique batch and host-to-host interfaces between the Contractor's EBT host system and the California counties' eligibility systems. It presents the EBT/eligibility systems' functional, technical, and operational design that accurately reflects the Contractor's creation and support of these interfaces. This document will be developed and maintained by the Contractor in compliance with the state's EBT document management process.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The EBT Interfaces Document shall include the following:

• Cover/title page.

• Document history.

• Table of contents.

• An introduction that includes the document's purpose, suggested audience, and listing of key terms.

• An executive summary of the document's content.

• A description of the operational functions for each batch interface and each host-to-host message defined in the EBT system requirements.

- A description of the Contractor's EBT eligibility systems interfaces processing rules that will be established and used by the Contractor, the State, and the counties. This includes:
  - Batch interface processing rules for each step specific to the batch interface to include connectivity parameters, processing parameters, file sequence and format control, file and record content validation, detail records processing, file and record-level processing status recording and return to the counties' eligibility systems. This section also describes the Contractor's processing rules pertaining to batch control numbers that will ensure transactional integrity, control of batch database commitments, and batch job restarts.
  - Host-to-host interface processing rules for the individual messages that are received by the EBT system. Each incoming Host-to-Host message will fall into one of six scenarios for which rules will exist (Message Error, Inquiry—Fixed Return, Inquiry—Variable Return, Inquiry—Variable Return with Continuation, Update—Same Length Return, and Update—Longer Fixed Length Returned).
- Communication links and connectivity requirements including:
  - A description of the Contractor's responsibilities regarding the specification of appropriate telecommunications circuits, network equipment and encryption/decryption capability that will ensure secure data transfer between the Contractor's EBT system and the California counties' eligibility systems at each of the counties' primary and backup eligibility processing sites.
  - A discussion of the Contractor's implementation of the required TCP/IP protocol for the batch FTP and host-to-host sockets interfaces.
  - A description of the requirements for all of the telecommunications connectivity required in support of the EBT batch and host-to-host interfaces between the Contractor's primary and backup EBT host system and the counties' multiple primary and backup eligibility systems. The Contractor's approach for connectivity between the counties' administrative workstations, card embossers, CAPS devices, and BIO POS terminals and the EBT host system and reports servers will also be described in this section.
  - A description of the batch and host-to-host configuration requirements for the EBT host system and the counties' eligibility systems that will be needed to exchange information over these interfaces.
  - A discussion of the operational considerations including appropriate sizing of equipment and networks and a definition of operations responsibilities.
- A description of the batch interface and host-to-host interface error handling.

- A description of the Contractor's procedures that pertain to batch interface

production control functions including operations monitoring and reporting and schedule deviations and changes.

- A description of escalation procedures for counties, eligibility consortia, and the Contractor to identify, report, and address production problems that pertain to the EBT production system.

- Detailed specifications for each of the batch files that are transmitted to the EBT host system by the counties eligibility systems, and the batch files that are returned to the counties' eligibility systems from the EBT host.

- Detailed specifications for each of the host-to-host messages that are transmitted to the EBT host system by the counties eligibility systems, and the normal and error response messages that will be returned to the counties' eligibility systems from the EBT host system.

- A list of generic error codes with descriptions for all messages, as well as specific error codes for specific messages for the batch and host-to-host interfaces.

- A description of batch interface file naming requirements, and FTP scripting requirements for the demographic and benefits production and test files.

- A listing of support languages and language codes.

- A listing of all supported benefit types.

- A listing of the host-to-host actions and message flow.

- A description of the California test database environment.

- A description of the Contractor and state/county responsibilities regarding local office codes and EBT card drop ship codes.

- A listing of EBT card status and transaction codes.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.28 Master Test Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Master Test Plan	To be determined

3. DESCRIPTION/PURPOSE

The Master Test Plan shall describe the testing processes and methodologies used in maintaining and operating the EBT system. The document shall outline the various stages/phases of testing along with the strategy, processes and resources required to successfully satisfy the entry and exit criteria for each of the testing phases. The Master Test Plan shall serve as the overarching document for all other test plans.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Master Test Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Description of the overall testing strategy including a description of how this Plan relates to and coordinates with the other test plans.

- Description of all phases of the testing process including a discussion of tools, techniques, methodologies.

- Roles and responsibilities of the Contractor, state, county, and consortia staff.

- Resources required across various phases of the testing process including:

    – Hardware required for various phases of testing.

    – Software required for various phases of testing.

    – Staffing requirements for various phases of testing.

- Description of the various test environments utilized across different phases of testing and the processes required for the setup of each of these environments.

- Description of the various testing phases of the overall test process including overview and purpose of each phase, scope, sequence of activities, and entry and exit criteria for each phase.

- Description of the overall schedule and related milestones across the various testing phases including dependencies and deliverables for each testing phase.

- Description of the quality assurance procedures to be applied at the various milestones across the overall testing process.

- Description of the process to record and report discrepancies and problems encountered across the various testing phases and the detailed steps involved in their resolution. This should also include the process to manage risks across the various testing phases.

- Description of the tools and methodologies involved in the overall load testing of the application.

- Examples that may be included as appendices for:

    – Sample of workplan.

    – Sample of test process and methodology.

    – Sample of reporting matrix.

–   Sample of issue and risk tacking matrix.

–   Sample of testing organization chart.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.29 Interface Test Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
Interface Test Plan	To be determined

3. DESCRIPTION/PURPOSE

The Interface Test Plan shall describe the testing strategy and methodologies in testing the interfaces in the EBT system. The Plan shall include detailed descriptions and testing requirements of each interface along with the test scenarios, environment setup, and steps involved in the end-to-end testing of each of the defined interfaces.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Interface Test Plan shall include the following:

- Cover/title page.
- Document history.
- Table of contents.
- An introduction that includes the document's purpose, suggested audience, and list of key terms.
- An executive summary of the document's content.
- Description of all phases of the testing process including a discussion of tools, techniques, methodologies.
- Roles and responsibilities of Contractor, state, county, and consortia staff.
- Resources required across various phases of the interface testing process including:
    - Hardware required for various phases of testing.
    - Software required for various phases of testing.
    - Staffing requirements for various phases of testing.
- Description of the various test environments utilized across different phases of testing and the processes required for the setup of each of these environments.

- Description of each interface to be tested including:

- – Eligibility system host-to-host Interface.
- – Eligibility system batch interface.
- – SARS interface.
- – Administrative application.
- – Online reports.
- – Card printer.
- – Transaction processing.
- – EBT-Only POS devices.
- – BIO POS devices.
- – CAPS devices.
- – Wireless POS devices.
- – ARU.
- – Client website.
- – Settlement of funds across various agencies.
- – Federal systems for the transmission of AMA, ASAP, ALERT and REDE files.
- For each interface, the Plan shall:
    - – Identify stakeholders.
    - – Define detailed interface specifications.
    - – Define scope of testing and buy in criteria for stakeholders.
    - – Describe the stages of testing along with a detailed listing of steps in each stage.
    - – Detail test requirements for each testing phase
    - – Identify entry and exit criteria for each stage of testing.
    - – Detail roles and responsibilities.
    - – Identify test scripts for each phase of testing along with data requirements.
    - – Present quality assurance requirements for each interface including certification criteria, certification processes, and certification checklists.
- Description of requirements for cross interface testing including:
    - – Test scripts.
    - – Roles and responsibilities.
    - – Entry and exit criteria.
    - – Certification of end-to-end interface testing involving multiple interfaces.
- Description of the overall schedule and related milestones across the various testing phases including dependencies and deliverables for each testing phase.
- Description of tools and methodologies involved in the overall load testing of the application.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.30 Test Scripts

<table>
<tr><td colspan="2" align="center">**DATA ITEM DESCRIPTION**</td></tr>
<tr><td>**1. DELIVERABLE NAME**

Test Scripts</td><td>**2. DELIVERABLE NUMBER**

To be determined</td></tr>
<tr><td colspan="2">**3. DESCRIPTION/PURPOSE**

The Test Scripts shall describe the set of conditions or variables under which a tester will determine if a requirement is fully satisfied. In order to fully test that all the requirements are met, there must be at least one test case for each requirement.</td></tr>
<tr><td colspan="2">**4. CONTENT REQUIREMENT**

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Test Scripts shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Test case specification identifier (unique name or number).

- A listing and description of features, modules, and/or requirements to be tested including references to design specifications/manuals.

- A description of inter-case dependencies and/or special requirements, identification of what tests have to be executed before this test, and any prerequisite procedures, special tester skills and special environmental needs.

- Step-by-step procedural description for each test or sequence of instructions for the test including all inputs, prompt messages displayed, and the relationships between the inputs, tester's actions, and analysis to be done of the output.

- A description of the exact results expected and the pass/fail criteria.</td></tr>
<tr><td colspan="2">**5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS**

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.</td></tr>
</table>

F.31 Integration Test Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Integration Test Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Integration Test Plan shall describe the testing strategy and methodologies in testing all aspects of the EBT system. The Plan shall include detailed descriptions and testing requirements along with the test scenarios, environment setup, and steps involved in the end-to-end testing.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Integration Test Plan shall include the following:

- Cover/title page.
- Document history.
- Table of contents.
- An introduction that includes the document's purpose, suggested audience, and list of key terms.
- An executive summary of the document's content.
- Description of all phases of the testing process including a discussion of tools, techniques, and methodologies.
- Roles and responsibilities of the Contractor, state, county, and consortia staff.
- Resources required across various phases of the integration testing process including:
    - Hardware required for various phases of testing.
    - Software required for various phases of testing.
    - Staffing requirements for various phases of testing.
- Description of the various test environments utilized across different phases of testing and the processes required for the setup of each of these environments.
- Description of each part of the EBT system to be tested including:
    - Cardholder transactions.
    - Cardholder actions (ARU and client website).
    - Administrative transactions.
    - Administrative actions.
    - Account aging.
    - End-of-day processes.
    - Files and reports.
    - Correction requests and adjustments.

- Settlement and reconciliation.
- Disaster services.

- The Plan shall:
    - Identify stakeholders.
    - Define detailed interface specifications.
    - Define scope of testing and buy in criteria for stakeholders.
    - Describe the stages of testing along with a detailed listing of steps in each stage.
    - Detail test requirements for each testing phase.
    - Identify entry and exit criteria for each stage of testing.
    - Detail roles and responsibilities.
    - Identify test scripts for each phase of testing along with data requirements.
    - Present quality assurance requirements for each interface including certification criteria, certification processes, and certification checklists.
- Description of the overall schedule and related milestones across the various testing phases including dependencies and deliverables for each testing phase.
- Description of tools and methodologies involved in the overall load testing of the application.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.32 User Acceptance Test Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME	**2. DELIVERABLE NUMBER**
User Acceptance Test Plan	To be determined

3. DESCRIPTION/PURPOSE

The User Acceptance Test Plan shall describe in detail the strategies, tools, and methodologies to be used for end-to-end user acceptance testing of all functional areas across all interfaces of the application. This Plan shall also describe the various groups of users to be involved at various phases of testing along with the details on the test scenarios and scripts to be executed by these users. Also, this Plan shall layout a strategy and process for tracking and fixing of errors encountered during user acceptance testing.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The User Acceptance Test Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Description of all phases of the testing process including a discussion of tools, techniques, and methodologies.

- Description of end-to-end business application testing including:

  – Connectivity test.

  – Various interfaces.

  – Role and responsibilities.

  – Application functional areas.

- Roles and responsibilities of the Contractor, state, county, and consortia staff.

- Resources required across various phases of the interface testing process including:

  – Hardware required for various phases of testing.

  – Software required for various phases of testing.

  – Staffing requirements for various phases of testing.

- Description of the various test environments utilized across different phases of testing and the processes required for the setup of each of these environments.

- For each interface, the Plan shall:

  – Identify stakeholders and users who would assist in UAT.

  – Define scope, strategy, and detailed test requirements.

  – Describe the creating of a test environment.

  – Describe the testing phases including a list of activities and their sequence.

  – Identify entry and exit criteria for each stage of testing.

  – Detail roles and responsibilities.

  – Detail UAT test scripts across functional areas and interfaces and the dependencies across functional areas.

  – Describe error resolution processes including fix and regression testing across functional areas and risk management.

  – Present quality assurance requirements for keeping the number of errors within the defined threshold.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.33 System Capacity Management Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME System Capacity Management Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The System Capacity Management Plan describes the methodologies used to ensure that all aspects of the EBT system are initially configured and maintained with sufficient capacity to handle anticipated maximum loads within required service levels. The Plan also describes the assumptions and models used for determining if the system will meet capacity requirements. The Plan shall describe monitoring processes used to identify system components that may require changes in order to continue meeting capacity requirements.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The System Capacity Management Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Identification tools and methodologies used for capacity planning, capacity modeling, and capacity monitoring of EBT system resources, including:

    - Computer network and capacity.

    - Telecommunications network capacity.

    - Computer processor utilization.

    - Computer memory.

    - Disk space.

    - Disk access.

    - File size.

- Identification and capacity analysis of each EBT system component (computer platform, network, and others), including:

    - System component description and function (may include references to the Detailed System Design or other applicable deliverables)

    - Identification of service level requirements that are applicable to the system component.

- – Identification of the external loads that affect performance of the system component.
- – Identification of resources within the system component that are sensitive to increased loads.
- – Description of how the system component and system component resources can be scaled for additional capacity.
- – Description of how system component resource utilization will be monitored.

- Description of the capacity model, capacity testing, and how capacity testing results will be used to validate the capacity model.

- Capacity model for each EBT system component, including:
  - – Identification of specific external load values and assumptions.
  - – Maximum anticipated utilization of system component resources.
  - – Maximum capacity of system component resources.
  - – Monitoring thresholds that will generate system component resource utilization alerts.
  - – Actual system component resource utilization (initial values during testing with production values provided in Plan updates).

- Description of capacity monitoring process and the process for resolving capacity issues once thresholds have been reached or exceeded.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.34 Continuity of Business Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Continuity of Business Plan	**2. DELIVERABLE NUMBER** To be determined
3. DESCRIPTION/PURPOSE The Continuity of Business Plan shall describe the Contractor's continuity of business strategies and procedures including system redundancies and backup, disaster recovery, and other business continuity activities. The Plan shall address business continuity for all components that comprises the EBT system, including the EBT host system, retailer/financial institution infrastructure, ARU system, customer service system, and county/consortia network connectivity.	

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Continuity of Business Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and listing of key terms.

- An executive summary of the document's content.

- Description of the roles and responsibilities of Contractor staff (local and corporate), subcontractor staff, as well as state and county staff.

- Description of the how security failures and risks are identified, evaluated, and severity levels determined.

- Description of the escalation processes and procedures including Contractor decision-making guidelines.

- Description of internal and external communication process depending on different severity levels.

- Description of the Contractor's data center facilities, safeguards, and business continuity measures.

- Description of system redundancy and safeguards for all components that comprise the EBT system including:

    - Retailer, financial, and county/consortia network connectivity.

    - ARU and customer services systems/functions.

    - Card production site.

    - Any other Contractor system/facilities, including those of subcontractors/partners (e.g., EBT-only processor, gateway), that comprises the EBT system.

- Description of scenarios for full and partial failures and the Contractor's established plans for mitigating, detecting, and resolving such failures. Scenarios shall include:

    - Data center failures

    - System failures.

    - ARU failures.

    - Customer service failures.

    - Card production failures.

- Description of the Contractor's methodologies for detecting and correcting reduced system performance resulting from full or partial failures of the system or its components.

- Description of the Contractor's testing of business continuity plans, processes and procedures.

- Description of disaster recovery plans and procedures related to all components that comprise the EBT system.

- Appendices such as specific plans and processes and procedures for items discussed in the main document, such as subcontractor/partner documentation.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.35 Disaster Services Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Disaster Services Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Disaster Services Plan shall describe the Contractor's approach that will be used to guide the preparation for and delivery of necessary Contractor EBT disaster services in response to any disaster requiring extraordinary EBT services response. The Plan shall include provisions to ensure that cardholder and retailer services incur minimal interruption. The Plan will identify resources involved in contingency operations, problem management and escalation procedures.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Disaster Services Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- An overview of the Contractor's proposed approach to EBT disaster services.

- Assumptions upon which the EBT Disaster Services Plan is based.

- A description of the disaster services the Contractor will provide including:

    - Disaster card management.

    - Cardholder support services.

    - Retailer support services.

    - Operational services.

    - Technical services.

    - Administrative application processing.

    - Eligibility system interfaces.

    - Reports.

    - Security.

    - Mock disaster exercises.

- A description of the roles and responsibilities of individuals and organizations involved in the EBT disaster services effort.

- A description of the supporting documentation that will be referenced, used, and provided for EBT disaster services planning, development, and implementation.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.36 End-of-Contract Changeover Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME End of Contract Changeover Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The End of Contract Changeover Plan shall describe in detail the Contractor's planned approach to provide the necessary Contractor services to support the changeover of EBT services delivery to the successor EBT services contractor.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The End of Contract Changeover Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- A description of assumptions upon which the changeover plan is based.

- A description of roles and responsibilities including potential liabilities for each participant.

- A description of activities to be conducted prior to, during, and after conversion and cutover to the new system including:

- A listing of any cryptographic algorithms in the EBT system such as:

  - DES – The Data Encryption Standard (FIPS 46-3).

  - Database cleanup.

  - Testing and certification of the EBT system, interfaces, conversion files, and other components.

  - Migration of demographic, benefit, card, and transaction history data to the successor contractor's system.

  - Transfer of the EBT telecommunications infrastructure to the successor contractor.

  - Changing over to the successor contractor's ARU and CSC.

  - Retailer conversion including:

    - POS access in existing retailer locations during the phase-out period

    - Equipment changeover.

    - Processing before and after conversion.

    - Manual voucher changeover.

    - POS and ATM routing changeover.

    - Retailer ARU changeover.

  - Changeover of the California counties from the Contractor's EBT system to the successor contractor's EBT system, and shall address at least the following areas including :

    - Appropriate communication with the counties throughout the changeover period.

    - County EBT system administrative access changeover.

    - County EBT card management process change.

    - County settlement process change.

    - Transfer of maintenance services for state-owned equipment to the successor contractor.

    - Service disruption notifications to be sent to EBT clients, the coverage required, and the suggested notification plan. It will address all anticipated disruption to benefits and client services to include ARU and CSC services.

- Contingency and fallback plan.
- Termination of Contractor EBT-related agreements at the end of the phase-out period.
- Provision of documentation, data, files, and software required to the successor contractor.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS
The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.37 Reports Catalog

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Reports Catalog	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Contractor's Reports Catalog shall describe all reports provided to the state and counties by the Contractor.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Reports Catalog shall include the following:

- Cover/title page.
- Document history.
- Table of contents.
- An introduction that includes the document's purpose, suggested audience, and listing of key terms.
- An executive summary of the document's content.
- Tables of all reports organized by frequency of issuance (e.g., daily, weekly, monthly, quarterly, and annually) that includes the report name, description, type, sort sequence, access (e.g., online), and whether or not the report is in SARS.
- A detailed presentation of all daily reports. Each report shall include the following: a detailed description of the report, purpose, state or county report, sort sequence, time period covered, intended use, data elements, codes, and a sample of the report.
- A detailed presentation of all weekly reports. Each report shall include the following: a detailed description of the report, purpose, state or county report, sort sequence, time period covered, intended use, data elements, codes, and a sample of the report.

- A detailed presentation of all monthly reports. Each report shall include the following: a detailed description of the report, purpose, state or county report, sort sequence, time period covered, intended use, data elements, codes, and a sample of the report.

- A detailed presentation of all quarterly reports. Each report shall include the following: a detailed description of the report, purpose, state or county report, sort sequence, time period covered, intended use, data elements, codes, and a sample of the report.

- A detailed presentation of all annual reports. Each report shall include the following: a detailed description of the report, purpose, state or county report, sort sequence, time period covered, intended use, data elements, codes, and a sample of the report.

- A detailed presentation of all fraud-related reports. Each report shall include the following: a detailed description of the report, purpose, state or county report, sort sequence, time period covered, data elements, codes, and a sample of the report.

5. PREPARATION INSTRUCTIONS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.38 Deficiency Management Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Deficiency Management Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Deficiency Management Plan shall describe the Contractor's processes for managing issues and problems related to the EBT system and associated processes.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Deficiency Management Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Description of the roles and responsibilities of the participants in the deficiency management process.

- Description of any standards used for the creation and execution of the Deficiency Management Plan.

- Description of the Contractor's overall deficiency management approach.

- Description of the Contractor deficiency management and communications processes including the processes and tools used for reporting problems and submitting questions to the Contractor; how the Contractor will analyze and address reported items; and how the Contractor will communicate deficiencies and related information.

- Description of the practices and procedures to be followed for reporting, tracking, and resolving problems or issues identified in system transition and system maintenance processes. Description of how problems/issues will be tracked to resolution and, if applicable, how corrective action plans will be developed to address more significant issues,

- Description of the process by which the Contractor will communicate to the state system-related events (e.g., system outages, upcoming schedule system downtimes, system changes that may have an impact to California). This shall include:

    – Description of system event priority levels.

    – Examples of what constitutes a critical system failure.

    – Analysis and evaluation process for critical system failures.

    – Notification process for critical system failures.

    – Examples of what constitutes a non-critical system event.

    – Analysis and evaluation process for non-critical system events.

    – Notification process for non-critical system events.

    – Examples of what constitutes operational problems/issues.

    – Analysis and evaluation process for operational problem/issues.

    – Notification process for operational problem/issues.

- Description of how the Contractor's processes contained in this Plan interact with and complement corresponding state processes.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.

F.39 Configuration Management Plan

DATA ITEM DESCRIPTION	
1. DELIVERABLE NAME Configuration Management Plan	**2. DELIVERABLE NUMBER** To be determined

3. DESCRIPTION/PURPOSE

The Configuration Management Plan shall describe the Contractor's processes for managing configuration items that are pertinent to the EBT system. This includes managing software modules, managing and controlling releases to the different system environments, managing documentation, managing work authorizations, and participating on the Change Control Board.

4. CONTENT REQUIREMENT

The following describes the minimum required content of the deliverable. Any changes to content must be approved by the state in advance.

The Configuration Management Plan shall include the following:

- Cover/title page.

- Document history.

- Table of contents.

- An introduction that includes the document's purpose, suggested audience, and list of key terms.

- An executive summary of the document's content.

- Description of the roles and responsibilities of the participants in the configuration management process.

- Description of the Contractor's overall configuration management approach.

- Description of any standards used for the creation and execution of the Configuration Management Plan.

- Description of how configuration items (e.g., software modules, hardware, and documentation) are controlled including how baselines are established and versions are controlled.

- Description of how changes to the baseline configuration items will requested, evaluated, approved or disapproved, and implemented.

- Description of how work authorizations will be managed, tested, and introduced into production.

- Description of the Contractor's release management process including how individual change requests are controlled and incorporated into production releases. This includes how the build, release, and delivery of software products and documentation will be formally controlled.

- Description of how changes that have effects on system interfaces will be communicated and coordinated with the interfacing systems (e.g., eligibility systems) or organizations.

- Description of how any subcontractor created system or software modules will be formally controlled and introduced in the EBT system.

- Description of how configurations of the different development, test, and production environments are controlled and synchronized.

- Description of how the Contractor controls changes to the Contractor's core system, particularly changes requested by other states, to guarantee that California's EBT system will not be unintentionally affected.

- Description of how the Contractor will communicate and provide status of configuration management activities to the state, including any and all changes (e.g., changes to the core system, internal Contractor changes) that may have an effect on the EBT system.

- Description of how the Contractor will manage documentation (e.g., deliverables), perform periodic updates and maintain configuration control of documents.

- Description of how the Contractor's processes contained in this Plan interact with and complement corresponding state processes.

5. PREPARATION INSTRUCTIONS AND APPLICABLE STANDARDS

The Contractor shall refer to the OSI Style Guide for format and preparation guidelines.